



## LAWRENCE BERKELEY NATIONAL LABORATORY

**Section:** 44 Subcontracting Policies and Procedures

**Subject:** 44.1 Intra-University Transactions  
Approval Levels and Documentation

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PURPOSE:	This supplemental instruction (SI) establishes dollar thresholds for requiring approvals and documentation for Intra-University Transactions (IUTs) at Berkeley Lab.
POLICY:	Approval and documentation dollar thresholds are established to assure proper review and analysis of IUTs.
SCOPE:	This SI applies to all requests for research, research tasks or supporting efforts with a University of California campus.
DEFINITIONS: Research	<p>As used herein, the term research means any work or effort that principally involves theoretical analysis, exploration, or experimentation; or the extension of investigative findings and theories of a scientific or technical nature into practical application for experimental and demonstration purposes including the experimental production and testing of models, devices, equipment, materials, and processes. It includes any necessary personnel, equipment, materials, supplies, or services needed to fulfill the research requirement.</p> <p>Examples of research activities include supplies and storeroom issues, services, computer time, work-study student assistance, personnel assistance, photocopies, and specific research projects provided by a campus for LBNL research programs and employees residing at a campus location.</p>
Supporting Effort	A supporting effort is the provision of equipment, materials, supplies, or services unrelated to a research requirement. The direct charges, if any, are charged pursuant to a campus-wide recharge policy for the type of service provided. Supporting efforts exclude the provision of services to a Laboratory employee residing at a campus.
PROCEDURES: Proposal	A formal, signed proposal will be obtained from the campus for IUTs in excess of \$100,000.
Documentation	IUTs will be documented as follows:

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REVIEWS/  
APPROVALS:  
DOE

**IUTs in excess of \$25,000** — A fully completed, approved, and signed IUT justification form shall be placed in the IUT file. See Exhibit SI 44.1a, [IUT Justification](#), for a sample of this form.

**IUTs in excess of \$100,000** — The procurement specialist must prepare and sign a Memorandum to the IUT file containing the following information:

- Memorandum Agreement Number,
- Campus/Department,
- Estimated Cost,
- Term,
- LBNL Division/Program,
- Name of LBNL's Technical Coordinator,
- Name of LBNL's Subcontract Administrator,
- Background/Purpose,
- Description of Transaction,
- Source Selection,
- Price Analysis,
- Conclusion

DOE approval is required for any IUT that:

- Results in a cost reimbursement of \$250,000 or more;
- Is for a supporting effort in excess of \$100,000;
- Involves the direct reimbursement (as opposed to an overhead rate) of the operating costs of a campus organization;
- Involves the transfer of title to government-owned property to the campus for the purpose of performing research or supporting efforts;
- Involves payment in advance of the actual incurrence of costs;
- Involves use of a campus to accomplish technology development supporting efforts (e.g. a Cooperative Research and Development Agreement); or

**RESPONSIBILITIES:**  
Procurement  
Specialist

- Involves utilities (steam, gas, electricity, telephones, telephone lines, water and sewage), valued at \$500,000 or more, which are furnished to campus building space occupied by LBNL-funded personnel.

The procurement specialist must

- Obtained a formal, signed proposal for research and supporting efforts in excess of \$100,000;
- Obtain an IUT justification form for IUTs in excess of \$25,000;
- Prepare a Memorandum to IUT file for IUTs in excess of \$100,000; and
- Obtain DOE approval when required.